

# **VA Office of Information and Technology Enterprise Architecture Management**



**Systems Integration and Development Service**

**Final  
Project Monitoring and Control Policy  
PMC010**

**Version 2.0**

**June 2, 2006**

**Department of Veterans Affairs**

**Letter of Promulgation**

As the Director of the Systems Integration and Development Services (SIDS) in the Office of Enterprise Architecture Management (OEAM) at the Department of Veterans Affairs (VA) Chief Information Officer (CIO), I do hereby formally promulgate this Project Monitoring and Control policy as the official policy of the SIDS. This Project Monitoring and Control policy will help standardize SIDS Project Monitoring and Control components, clarify and enhance current practices, facilitate the alignment of the organization with the Carnegie-Mellon University Software Engineering Institute Capability Maturity Model Integration (CMU/SEI CMMI), and ensure compliance with OEAM Project Monitoring and Control policy and the Enterprise Architecture provisions of the Information Technology Management Reform Act (Clinger-Cohen Act of 1996 (40 U.S.C. 1401(3))) and direct their application across the SIDS.

May 31, 2006  
(Effective Date)

(Signature obtained and on file)  
Frances G. Parker, Director (Acting)  
Systems Integration and Development Service  
Office of Enterprise Architecture Management  
VA Office of Information and Technology

May 15, 2006  
(Date)

## Record of Changes

<b>Version #</b>	<b>CCP #</b>	<b>Description</b>	<b>Date Entered</b>	<b>Entered by:</b>
1.0	N/A	Initial development of draft policy	5/9/2006	Mary Wu
1.5	N/A	Revised based on team review comments	5/11/2006	Mary Wu
2.0	N/A	Revised based on additional comments	6/2/2006	Mary Wu

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# **1. INTRODUCTION**

## **1.1. PURPOSE**

This document establishes a Project Monitoring and Control (PMC) policy for the Systems Integration and Development Service (SIDS) in the Office of Enterprise Architecture Management (OEAM), Office of Information and Technology (OI&T), U. S. Department of Veterans Affairs (VA).

## **1.2. SCOPE**

This policy applies to all SIDS organizations, branches, sub-organizations, integration and development projects, and contractors receiving, expending, or disbursing SIDS funds.

## **1.3. EFFECTIVE DATE**

This policy shall apply to all SIDS projects and offices effective 15 calendar days after signature by the Director, SIDS (or designee). All projects a) started after the effective date or b) in Phase 0 (zero) of the System Development Life Cycle (SDLC) at the effective date shall comply with this policy.

Projects assigned to SIDS that are in the middle of any SDLC phase other than Phase 0 (zero) at the effective date of this policy are required to demonstrate due diligence in complying with this policy within 30 days of the effective date, to the degree that it does not jeopardize their ability to satisfy prior project commitments. Additionally, all projects in the Maintenance and Operations (M&O) phase shall, at a minimum, assess and report compliance with this policy on an annual basis.

All other projects and efforts under SIDS authority shall, at a minimum, assess their compliance with this policy, report their assessment and their demonstrations of due diligence in complying with this policy prior to the start of their next new SDLC phase.

Projects requesting a waiver from the requirements in this policy shall make the request in writing to the Director, SIDS. The Director, SIDS, shall consider special situations for non-compliance on a case-by-case basis.

## **1.4. RESPONSIBILITIES**

The Director, SIDS, has the basic responsibility for implementing this policy within the SIDS organization. The heads of all SIDS sub-organizations (e.g., branches, staff elements, their subordinate organizations and offices, and all projects) are responsible for implementing this policy and for compliance with the requirements of this policy within their respective organizations and projects. The Director, SIDS, has responsibility for ensuring that compliance with this policy is assessed and reported at least annually to the Associate Deputy Assistant Secretary for Enterprise Architecture Management.

SIDS sub-organization managers (e.g., branches, staff elements, their subordinate organizations and offices, and all projects) have the basic responsibility for implementing the policy for their respective offices and projects. If an office or project manager is not a VA employee, then a VA employee shall be assigned to provide oversight to the non-VA IT manager to ensure compliance with this policy.

## **1.5. REFERENCES AND RELATED DOCUMENTS**

### **1.5.1. References**

1. Carnegie Mellon University/Software Engineering Institute, Capability Maturity Model Integration for Systems Engineering, Software Engineering, Integrated Product and Process Development, and Supplier Sourcing (CMMI-SE/SW/IPPD/SS) V1.1, March 2002.

### **1.5.2. Related Documents**

This policy is subordinate to the VA OI&T OEAM policy on Project Monitoring and Control. Any discrepancy or conflict between this policy and the OEAM policy will be resolved in favor of the higher authority. Anyone observing or otherwise aware of such a discrepancy or conflict should bring it to the attention of the Director, SIDS, as soon as possible.

This policy is closely related to policies on project planning, requirements management, configuration management, quality assurance, measurement and analysis, and supplier agreement management.

## **1.6. TERMS AND ABBREVIATIONS**

### **1.6.1. Terms**

The following terms, with definitions from the CMU/SEI CMMI, are included here for reference.

<b>TERM</b>	<b>DEFINITION</b>
Managed process	A process that is planned and executed in accordance with policy; employs skilled people having adequate resources to produce controlled outputs; involves relevant stakeholders; is monitored, controlled, and reviewed; and is evaluated for adherence to its process description
Organization	A structure where people collectively manage projects or services as a whole, and whose projects or services share senior management and operate under the same policies and procedures.

### **1.6.2. Abbreviations**

The following abbreviations are used in this document:

CMMI	Capability Maturity Model Integration
CMU/SEI	Carnegie-Mellon University/Software Engineering Institute
OEAM	Office of Enterprise Architecture Management
OI&T	Office of Information and Technology
PMC	Project Monitoring and Control
RFW	Request for Waiver
SIDS	Systems Integration and Development Service
VA	U.S. Department of Veterans Affairs

## **2. POLICY**

### **2.1. POLICY STATEMENT**

The project monitoring and control policy of the SIDS is:

1. To provide an understanding of progress of the SIDS projects; and
2. To ensure that corrective actions are taken when the project's performance deviates significantly from the plan.

This is the minimum SIDS PMC policy. SIDS sub-organizations desiring to develop PMC policies less restrictive than this SIDS PMC policy must submit a written Request for Waiver (RFW) and have it approved by the Director, SIDS, or higher authority. An RFW is not required for policies that are more restrictive.

### **2.2. PROJECT MONITORING AND CONTROL GOALS**

The project monitoring and control goals of the SIDS are to:

1. Monitor performance and progress of the project against the plan;
2. Manage corrective actions to ensure closure; and
3. Institutionalize a managed PMC process.

#### **2.2.1. Monitor Project Against Plan**

To monitor actual performance and progress against the project plan, the SIDS and its sub-organizations must:

1. Monitor the actual values of the project planning parameters against the project plan;
2. Monitor project risks against those identified in the project plan;
3. Monitor comments and stakeholder involvement against the project plan;
4. Monitor project data management against the project plan; and
5. Conduct progress reviews and milestone reviews.

### **2.2.2. Manage Corrective Actions**

To manage corrective actions to closure, the SIDS and its sub-organizations must:

1. Collect and analyze issues, and determine the necessary corrective actions to address the issues;
2. Take corrective actions on identified issues; and
3. Monitor corrective actions to closure.

### **2.2.3. Institutionalize a Managed Project Monitoring and Control Process**

To institutionalize PMC across the SIDS as a managed process, the SIDS and its sub-organizations must:

1. Establish policies for planning and performing the PMC process;
2. Establish and maintain plans for the PMC process;
3. Provide adequate resources, including project monitoring and control tools for performing the PMC process;
4. Assign responsibility and authority for performing the PMC process;
5. Ensure that the people performing or supporting the PMC process are trained to perform their PMC duties;
6. Place designated work products of the PMC process under appropriate levels of configuration management;
7. Identify and involve the relevant stakeholders of the PMC process;
8. Monitor and control performance of the PMC process as planned and take appropriate corrective actions;
9. Objectively evaluate adherence of the PMC process against its process description, standards, and procedures, and address noncompliance; and
10. Conduct reviews of activities, status, and results of the PMC process with higher-level management and resolve issues.